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7/23/02  
Joe OK**PATENT**  
Docket No. 35103-018001**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re U.S. Patent Application )

Applicant: Hauk, et al. )

Serial No.: 09/540,601 )

Filed: March 31, 2000 )

For: **VIRTUAL TRADING FLOOR  
SYSTEM** )

Examiner: Richard Fults )

Art Unit: 2768 )

**CERTIFICATE OF TRANSMISSION**  
**UNDER 37 C.F.R. §1.8 (a) and M.P.E.P. §512.***I hereby certify that this AMENDMENT  
UNDER 37 C.F.R. §1.115 is being sent via  
facsimile transmission to the United States  
Patent and Trademark Office to fax number  
(703) 305-7687 on July 23, 2002.*By: JOSEPH H. AQUIN, JR.Signature: **THIRD PRELIMINARY AMENDMENT**

Via Facsimile (703) 305-7687

BOX NO FEE AMENDMENT  
Assistant Commissioner for Patents  
Washington, D.C. 20231**OFFICIAL**

Dear Sir:

Applicants respectfully submit the following amendment to the above referenced patent application and request that the application be considered in view of the same.

**FAX RECEIVED**

JUL 23 2002

**GROUP 3600**